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Appendix

Java™ Card™ Runtime Environment (JCRE) 2.1 Specification

Draft 2

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901 San Antonio Road
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Draft 2, December 14, 1998

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Preface

Java™ Card™ technology combines a portion of the Java programming language with a runtime environment optimized for smart cards and related, small-memory embedded devices. The goal of Java Card technology is to bring many of the benefits of Java software programming to the resource-constrained world of smart cards.

This document is a specification of the Java Card Runtime Environment (JCRC) 2.1. A reader of a Java Card-enabled device provides an implementation of the JCRC. A JCRC implementation within the context of this specification refers to a vendor's implementation of the Java Card Virtual Machine (VM), the Java Card Application Programming Interface (API), or other component, based on the Java Card technology specifications. A *Reference Implementation* is an implementation produced by Sun Microsystems, Inc. Applets written for the Java Card platform are referred to as Java Card applets.

Who Should Use This Specification?

This specification is intended to assist JCRC implementers in creating an implementation, developing a specification to extend the Java Card technology specifications, or in creating an extension to the Java Card Runtime Environment (JCRC). This specification is also intended for Java Card applet developers who want a greater understanding of the Java Card technology specifications.

Before You Read This Specification

Before reading this guide, you should be familiar with the Java programming language, the Java Card technology specifications, and smart card technology. A good resource for becoming familiar with Java technology and Java Card technology is the Sun Microsystems, Inc. website, located at: <http://java.sun.com>.

How This Specification Is Organized

Chapter 1, "The Scope and Responsibilities of the JCRC," gives an overview of the services required of a JCRC implementation.

Chapter 2, "Lifetime of the Virtual Machine," defines the lifetimes of the Virtual Machine.

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- Chapter 3, "Applet Lifetime," defines the lifetime of an applet.
- Chapter 4, "Transient Objects," provides an overview of transient objects.
- Chapter 5, "Selection," describes how the JCRE handles applet selection.
- Chapter 6, "Applet Isolation and Object Sharing," describes applet isolation and object sharing.
- Chapter 7, "Transactions and Atomicity," provides an overview of atomicity during transactions.
- Chapter 8, "API Topics," describes API functionality required of a JCRE but not completely specified in the *Java Card 2.1 API Specification*.
- Chapter 9, "Virtual Machine Topics," describes virtual machine specifics.
- Chapter 10, "Applet Installer," provides an overview of the Applet Installer.
- Chapter 11, "API Constants," provides the numeric value of constants that are not specified in the *Java Card API 2.1 Specification*.

Glossary is a list of words and their definitions to assist you in using this book.

Related Documents and Publications

References to various documents or products are made in this manual. You should have the following documents available:

- *Java Card 2.1 API Draft 2 Specification*, Sun Microsystems, Inc.
- *Java Card 2.0 Language Subset and Virtual Machine Specification, Chapter 13, 1997, Revision 1.0 Final*, Sun Microsystems, Inc.
- *Java Card Applet Developer's Guide*, Sun Microsystems, Inc.
- *The Java Language Specification* by James Gosling, Bill Joy, and Guy L. Steele. Addison-Wesley, 1996. ISBN 0-201-63451-1.
- *The Java Virtual Machine Specification (Java Series)* by Tim Lindholm and Frank Yellin. Addison-Wesley, 1996. ISBN 0-201-63452-X.
- *The Java Class Libraries: An Annotated Reference (Java Series)* by Patrick Chan and Rosanna Lee. Addison-Wesley, two volumes. ISBN: 0201310023 and 0201310031.
- ISO 7816 Specification Part 1-6.
- EMV™ % Integrated Circuit Card Specification for Payment Systems.

Java Card™ Runtime Environment (JCRE) 2.1 Specification

1. Introduction

The Java Card Runtime Environment (JCRE) 2.1 contains the Java Card Virtual Machine (VM), the Java Card Application Programming Interface (API) classes (and industry-specific extensions), and support services.

This document, the JCRE 2.1 Specification, specifies the JCRE functionality required by the Java Card technology. Any implementation of Java Card technology shall provide this necessary behavior and environment.

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2. Lifetime of the Java Card Virtual Machine

In a PC or workstation, the Java Virtual Machine runs as an operating system process. When the OS process is terminated, the Java applications and their objects are automatically destroyed.

In Java Card technology the execution lifetime of the Virtual Machine (VM) is the lifetime of the card. Most of the information stored on a card shall be preserved even when power is removed from the card. Persistent memory technology (such as EEPROM) enables a smart card to store information when power is removed. Since the VM and the objects created on the card are used to represent application information that is persistent, the Java Card VM appears to run forever. When power is removed, the VM stops only temporarily. When the card is next read, the VM starts up again and recovers its previous object heap from persistent storage.

Aside from its persistent nature, the Java Card Virtual Machine is just like the Java Virtual Machine.

The card initialization time is the time after masking, and prior to the time of card personalization and issuance. At the time of card initialization, the JCRCB is initialized. The framework objects created by the JCRCB exist for the lifetime of the Virtual Machine. Because the execution lifetime of the Virtual Machine and the JCRCB framework span CAD sessions of the card, the lifetimes of objects created by applets will also span CAD sessions. (CAD means Card Acceptance Device, or card reader. Card sessions are those periods when the card is inserted in the CAD, powered up, and exchanging streams of APDUs with the CAD. The card session ends when the card is removed from the CAD.) Objects that have this property are called persistent objects.

The JCRCB implementer shall make an object persistent when:

- The `Applet.register` method is called. The JCRCB stores a reference to the instance of the applet object. The JCRCB implementer shall ensure that instances of class applet are persistent.
- A reference to an object is stored in a field of any other persistent object or in a class's static field. This requirement stems from the need to preserve the integrity of the JCRCB's internal data structure.

3.2 The Method select

Applets remain in a suspended state until they are explicitly selected. Selection occurs when the JCIRE receives a SELECT APDU in which the name data matches the AID of the applet. Selection causes an applet to become the currently selected applet.

Prior to calling SELECT, the JCIRE shall deselect the previously selected applet. The JCIRE indicates this to the applet by invoking the applet's `deselect` method.

The JCIRE informs the applet of selection by invoking its `select` method.

The applet may decline to be selected by returning `false` from the call to the `select` method or by throwing an exception. If the applet returns `true`, the actual SELECT APDU command is supplied to the applet in the subsequent call to its `process` method, so that the applet can examine the APDU contents. The applet can process the SELECT APDU command exactly like it processes any other APDU command. It can respond to the SELECT APDU with data (see the `process` method for details), or it can flag errors by throwing an exception with the appropriate SW (returned status word). The SW and optional response data are returned to the CAD.

The `Applet.select` method, if implemented, shall return `true` when called during the `select` method. The `Applet.select` method will continue to return `true` during the subsequent `process` method, which is called to process the SELECT APDU command.

If the applet declines to be selected, the JCIRE will return an APDU response status word of `ISO_SW_APPLET_SELECT_FAILED` to the CAD. Upon selection failure, the JCIRE state is set to indicate that no applet is selected.

After successful selection, all subsequent APDUs are delivered to the currently selected applet via the `process` method.

3.3 The Method process

All APDUs are received by the JCIRE, which passes an instance of the APDU class to the `process` method of the currently selected applet.

Note — A SELECT APDU might cause a change in the currently selected applet prior to the call to the `process` method.

On normal return, the JCIRE automatically appends 0x9000 as the completion response SW to any data already sent by the applet.

At any time during `process`, the applet may throw an exception with an appropriate SW, in which case the JCIRE catches the exception and returns the SW to the CAD.

If any other exception is thrown during `process`, the JCIRE catches the exception and returns the status word `ISO7816.BN_UNEXPECTED` to the CAD.

3. Java Card Applet Lifetime

For the purposes of this specification, a Java Card applet's lifetime begins at the point that it has been correctly loaded into card memory, linked, and otherwise prepared for execution. (For the remainder of this specification, *applet* refers to an applet written for the Java Card platform.) Applets registered with the `Applet.register` method exist for the lifetime of the card. The JCIRE interacts with the applet via the applet's public methods `install`, `select`, `deselect`, and `process`. An applet shall implement the static `Install` method. If the `install` method is not implemented, the applet's objects cannot be created or initialized. A JCIRE implementation shall call an applet's `install`, `select`, `deselect`, and `process` methods as described below.

When the applet is installed on the smart card, the static `Install` method is called once by the JCIRE for each applet instance created. The JCIRE shall not call the applet's constructor directly.

3.1 The Method install

When `install` is called, no objects of the applet exist. The main task of the `install` method within the applet is to create an instance of the `Applet` class, and to register the instance. All other objects that the applet will need during its lifetime can be created as is feasible. Any other preparations necessary for the applet to be selected and executed by a CAD also can be done as is feasible. The `install` method obtains initialization parameters from the contents of the incoming byte array parameter.

Typically, an applet creates various objects, initializes them with predefined values, sets some internal state variables, and calls the `Applet.register` method to specify the AID (applet identifier as defined in ISO 7816-5) to be used to select it. This initialization is considered successful when the call to the

`Applet.register` method completes without an exception. The initialization is deemed unsuccessful if the `install` method does not call the `Applet.register` method, or if an exception is thrown from within the `install` method prior to the `Applet.register` method being called, or if the `Applet.register` method throws an exception. If the initialization is unsuccessful, the JCIRE shall perform all cleanup when it regains control. That is, all persistent objects shall be returned to the state they find prior to calling the `install` method. If the initialization is successful, the JCIRE can mark the applet as available for selection.

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3.4 The Method deselect

When the JCRC receives a SELECT APOU command in which the name matches the AID of an applet, the JCRC calls the Deselect method of the currently selected applet. This allows the applet to perform any cleanup operations that may be required in order to allow some other applet to execute.

The Applet.deselect method shall return false when called during the deselect method. Exceptions thrown by the deselect method are caught by the JCRC, but the applet is deselected.

3.5 Power Loss and Reset

Power loss occurs when the card is withdrawn from the CAD or if there is some other mechanical or electrical failure. When power is reapplied to the card and on Card Reset (warm or cold) the JCRC shall ensure that:

- Transient data is reset to the default value.
- The transaction in progress, if any, when power was lost (or reset occurred) is aborted.
- The applet that was selected when power was lost (or reset occurred) becomes implicitly deselected. (In this case the deselect method is not called.)
- If the JCRC implements default applet selection (see paragraph 3.1), the default applet is selected as the currently selected applet, and that the default applet's select method is called. Otherwise, the JCRC sets its state to indicate that no applet is selected.

4.1 Events That Clear Transient Objects

Persistent objects are used for maintaining states that shall be preserved across card resets. When a transient object is created, one of two events are specified that cause its fields to be cleared: `CLEAR_ON_RESET` transient objects are used for maintaining states that shall be preserved across applet activations, but not across card resets. `CLEAR_ON_DESELECT` transient objects are used for maintaining states that must be preserved while an applet is selected, but not across applet selections or card resets.

Details of the two clear events are as follows:

- **CLEAR_ON_RESET**—the object's fields are cleared when the card is reset. When a card is powered on, this also causes a card reset.

NOTE—It is not necessary to clear the fields of transient objects before power is removed from a card. However, it is necessary to guarantee that the previous contents of such fields cannot be recovered once power is lost.

- **CLEAR_ON_DESELECT**—the object's fields are cleared whenever any applet is deselected. Because a card reset implicitly deselects the currently selected applet, the fields of `CLEAR_ON_DESELECT` objects are also cleared by the same events specified for `CLEAR_ON_RESET`.

The currently selected applet is explicitly deselected (its `deselect` method is called) only when a `SELECT` command is processed. The currently selected applet is deselected and then the fields of all `CLEAR_ON_DESELECT` transient objects are cleared regardless of whether the `SELECT` command:

- Fails to select an applet.
- Selects a different applet.
- Resets the same applet.

4. Transient Objects

Applets sometimes require objects that contain temporary (transient) data that need not be persistent across CAD sessions. Java Card does not support the Java keyword `transient`. However, Java Card technology provides methods to create transient arrays with primitive components or references to objects.

The term "transient object" is a misnomer. It can be incorrectly interpreted to mean that the object itself is transient. However, only the contents of the fields of the object (except for the length field) have a transient nature. As with any other object in the Java programming language, transient objects within the Java Card platform exist as long as they are referenced from:

- The stack
- Local variables
- A class static field
- A field in another existing object

A transient object within the Java Card platform has the following required behavior:

- The fields of a transient object shall be cleared to the field's default value (zero, false, or null) at the occurrence of certain events (see below).
- For security reasons, the fields of a transient object shall never be stored in a "persistent memory technology." Using current smart card technology as an example, the contents of transient objects can be stored in RAM, but never in EEPROM. The purpose of this requirement is to allow sensitive objects to be used to store session keys.
- Writes to the fields of a transient object shall not have a performance penalty. (Using current smart card technology as an example, the contents of transient objects can be stored in RAM, while the contents of non-transient objects can be stored in EEPROM. Typically, RAM technology has a much faster write cycle time than EEPROM.)
- Writes to the fields of a transient object shall not be affected by "transactions." That is, an abort transaction will never cause a field in a transient object to be restored to a previous value.

This behavior makes transient objects ideal for small amounts of temporary applet data that is frequently modified, but that need not be preserved across CAD or select sessions.

5.2 SELECT Command Processing

The SELECT APDU command is used to select an applet. Its behavior is:

1. The SELECT APDU is always processed by the JCRC regardless of which, if any, applet is active.
2. The JCRC searches its internal table for a matching AID. The JCRC shall support selecting an applet value the full AID is present in the SELECT command.

JCRC implementations are free to enhance their JCRC to support other selection criteria. An example of this is selection via partial AID match as specified in ISO 7816-4. The specific requirements are as follows:

- Note – An asterisk indicates binary bit numbering as in ISO 7816. Most significant bit = bit 0. Least significant bit = bit 1.
- a) Applet SELECT command uses CLA=0x00, INS=0x04.
 - b) Applet SELECT command uses "Selection by DF name". Therefore, P1=0x04.
 - c) Any other value of P1 implies that it is not an applet select. The APDU is processed by the currently selected applet.
 - d) JCRC shall support exact DF name (AID) selection i.e. P2=0x0000 to 0x04,03* are don't care).
 - e) All other partial DF name SELECT options (0x02,01*) are JCRC implementation dependent.
 - f) All file control information option codes (0x04,03*) shall be supported by the JCRC and interpreted and processed by the applet.

3. If no AID match is found:

- a. If there is no currently selected applet, the JCRC responds to the SELECT command with status code 0x6999 (SW_APPLET_SELECT_FAILED).
- b. Otherwise, the SELECT command is forwarded to the currently selected applet's process method. A context switch into the applet's context occurs at this point. (The applet's context is defined in paragraph 6.1.1.) Applets may use the SELECT APDU command for their own internal SELECT processing.
4. If a matching AID is found, the JCRC prepares to select the new applet. If there is an currently selected applet, it is deselected via a call to its deselect method. A context switch into the deselected applet's context occurs at this point. The JCRC context is restored upon exit from deselect.
5. The JCRC sets the new currently selected applet. The new applet is selected via a call to its select method, and a context switch into the new applet's context occurs.
- a. If the applet's select method throws an exception or returns false, then JCRC also has set so that no applet is selected. The JCRC responds to the SELECT command with status code 0x6999 (SW_APPLET_SELECT_FAILED).
- b. The new currently selected applet's process method is then called with the SELECT APDU as an input parameter. A context switch into the applet's context occurs.

Notes –

5. Selection

Cards receive requests for service from the CAD in the form of APDUs. The SELECT APDU is used by the JCRC to designate a currently selected applet. Once selected, an applet receives all subsequent APDUs until the applet becomes deselected.

There is no currently selected applet when either of the following occurs:

- The card is reset and no applet has been pre-designated as the *default applet*.
- A SELECT command fails when attempting to select an applet.

5.1 The Default Applet

Normally, applets become selected only via a successful SELECT command. However, some smart card CAD applications require that there be a default applet that is implicitly selected after every card reset. The behavior is:

1. After card reset (or power on, which is a form of reset) the JCRC performs its initializations and checks to see if its internal state indicates that a particular applet is the default applet. If so, the JCRC makes this applet the currently selected applet, and the applet's select method is called. If the applet's select method throws an exception or returns false, then the JCRC sets its state to indicate that no applet is selected. (The applet's process method is not called during default applet selection because there is no SELECT APDU.) When a default applet is selected at card reset, it shall not require its process method to be called.
 2. The JCRC ensures that the ATR has been sent and the card is now ready to accept APDU commands. If a default applet was successfully selected, then APDU commands can be sent directly to this applet. If a default applet was not selected, then only SELECT commands can be processed.
- The mechanism for specifying a default applet is not defined in the Java Card API 2.1. It is a JCRC implementation detail and is left to the individual JCRC implementations.

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If there is no matching AID, the SELECT command is forwarded to the currently selected applet (if any) for processing as a normal applet APDU command.

If there is a matching AID and the SELECT command fails, the JCRC always enters the state where an applet is selected.

If the matching AID is the same as the currently selected applet, the JCRC will go through the process of deactivating the applet and then selecting it. Reactivation could fail, leaving the card in a state where no applet is selected.

5.3 Non-SELECT Command Processing

When a non-SELECT APDU is received and there is no currently selected applet, the JCRC shall respond to the APDU with status code 0x6999 (SW_APPLET_SELECT_FAILED).

When a non-SELECT APDU is received and there is a currently selected applet, the JCRC invokes the process method of the currently selected applet passing the APDU as a parameter. This causes a context switch from the JCRC context into the currently selected applet's context. When the process method exits, the VM switches back to the JCRC context. The JCRC sends a response APDU and waits for the next command APDU.

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6. Applet Isolation and Object Sharing

Any implementation of the JCRC shall support isolation of contexts and applets. Isolation means that one applet can not access the fields or objects of an applet in another context unless the other applet explicitly provides an interface for access. The JCRC implementations for applet isolation and object sharing are detailed in the sections below.

6.1 Applet Firewall

The *applet firewall* within Java Card technology is runtime-enforced protection and is separate from the Java technology protections. The Java language protections still apply to Java Card applets. The Java language ensures that strong typing and protection attributes are enforced.

Applet firewalls are always enforced in the Java Card VM. They allow the VM to automatically perform additional security checks at runtime.

6.1.1 Contexts and Context Switching

Firewalls essentially partition the Java Card platform's object system into separate protected object spaces called *contexts*. The firewall in the boundary between one context and another. The JCRC shall allocate and manage an *applet context* for each applet that is installed on the card. (But see paragraph 6.1.1.2 below for a discussion of group contexts.)

In addition, the JCRC maintains its own *JCRC context*. This context is much like an applet context, but it has special system privileges so that it can perform operations that are denied to applet contexts.

At any point in time, there is only one *active context* within the VM. (This is called the *currently active context*.) All bytecodes that access objects are checked at runtime against the currently active context in order to determine if the access is allowed. A `java.lang.SecurityException` is thrown when an access is disallowed.

When certain well-defined conditions are met during the execution of invoke-type bytecodes as described in paragraph 6.2.8, the VM performs a *context switch*. The previous context is pushed on an internal VM stack, a new context becomes the currently active context, and the invoked method executes in this new context. Upon exit from that method the VM performs a returning context switch. The original context (of the caller of the method) is popped from the stack and is restored as the currently active context. Context switches can be nested. The maximum depth depends on the amount of VM stack space available.

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Most method invocations in Java Card technology do not cause a context switch. Context switches only occur during invocation of and return from certain methods, as well as during exception calls from those methods (see 6.2.8).

During a context-switching method invocation, an additional piece of data, indicating the currently active context, is pushed onto the return stack. This context is restored when the method is exited.

Further details of contexts and context switching are provided in later sections of this chapter.

6.1.1.1 Group Contexts

Usually, each instance of a Java Card applet defines a separate context. But with Java Card 2.1 technology, the concept of *group context* is introduced. If more than one applet is contained in a single Java package, they share the same context. Additionally, all instances of the same applet class share the same context. In other words, there is no firewall between two applet instances in a *group context*.

The discussion of contexts and context switching above in section 6.1.1 assumes that each applet instance is associated with a separate context. In Java Card 2.1 technology, contexts are compared to enforce the firewall, and the instance AID is pushed onto the stack. Additionally, this happens not only when the context switches, but also when control switches from an object owned by one applet instance to an object owned by another instance within the same package.

6.1.2 Object Ownership

When a new object is created, it is associated with the currently active context. But the object is owned by the applet instance within the currently active context when the object is instantiated. An object is owned by an applet instance, or by the JCRC.

6.1.3 Object Access

In general, an object can only be accessed by its owning context, that is, when the owning context is the currently active context. The firewall prevents an object from being accessed by another applet in a different context.

In implementation terms, each time an object is accessed, the object's owner context is compared to the currently active context. If these do not match, the access is not performed and a `SecurityException` is thrown.

An object is accessed when one of the following bytecodes is executed using the object's reference:

```
getfield, putfield, invokevirtual, invokevirtual,
throw, <v>aload, <v>astore, arraylength, checkcast, instanceof
<v> refers to the various types of array bytecodes, such as baload, aastore, etc.
```

This list includes any special or optimized forms of these bytecodes implemented in the Java Card VM, such as `getfield_a`, `getfield_p`, `hla`, etc.

6.1.4 Firewall Protection

The Java Card firewall provides protection against the most frequently anticipated security concern: developer mistakes and design oversights that might allow sensitive data to be "leaked" to another applet. An applet may be able to obtain an object reference from a publicly accessible location, but if the object is owned by a different applet, the firewall ensures security.

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Java™ Card™ Runtime Environment (JCRC) 2.1 Specification

6.2.1 JCRC Entry Point Objects

Secure computer systems shall have a way for non-privileged user processes (that are restricted to a subset of resources) to request system services performed by privileged "system" routines.

In the Java Card API 2.1, this is accomplished using *JCRC Entry Point Objects*. These are objects owned by the JCRC context, but they have been flagged as containing entry point methods.

The firewall protects these objects from access by applets. The entry point designation allows the methods of these objects to be invoked from any context. When that occurs, a context switch to the JCRC context is performed. These methods are the gateways through which applets request privileged JCRC system services.

There are two categories of JCRC Entry Point Objects:

- Temporary JCRC Entry Point Objects

Like all JCRC Entry Point Objects, methods of temporary JCRC Entry Point Objects can be invoked from any applet context. However, references to these objects cannot be stored in class variables, instance variables or array components. The JCRC detects and restricts attempts to store references to these objects as part of the firewall functionality to prevent unauthorized re-use.

The APDU object and all JCRC owned exception objects are examples of temporary JCRC Entry Point Objects.

- Permanent JCRC Entry Point Objects

Like all JCRC Entry Point Objects, methods of permanent JCRC Entry Point Objects can be invoked from any applet context. Additionally, references to these objects can be stored and freely re-used.

JCRC owned AID instances are examples of permanent JCRC Entry Point Objects.

The JCRC is responsible for:

- Determining what privileged services are provided to applets.
- Defining classes containing the entry point methods for those services.
- Creating one or more object instances of those classes.
- Designating those instances as JCRC Entry Point Objects.
- Designating JCRC Entry Point Objects as temporary or permanent.
- Making references to those objects available to applets as needed.

Note — Only the methods of these objects are accessible through the firewall. The fields of these objects are still protected by the firewall and can only be accessed by the JCRC context.

Only the JCRC itself can designate Entry Point Objects and whether they are temporary or permanent. JCRC implementers are responsible for implementing the mechanism by which JCRC Entry Point Objects are designated and how they become temporary or permanent.

6.2.2 Global Arrays

The global nature of some objects requires that they be accessible from any applet context. The firewall would ordinarily prevent these objects from being used in a flexible manner. The Java Card VM allows an object to be designated as *global*.

All global arrays are temporary global array objects. These objects are owned by the JCRC context, but can be accessed from any applet context. However, references to these objects cannot be stored in class variables.

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The firewall also provides protection against incorrect code. If incorrect code is loaded onto a card, the firewall still protects objects from being accessed by this code.

The Java Card API 2.1 specifies the basic minimum protection requirements of contexts and firewalls because these features shall be supported in ways that are not transparent to the applet developer. Developers shall be aware of the behavior of objects, APIs, and exceptions related to the firewall.

JCRC implementers are free to implement additional security mechanisms beyond those of the applet firewall, as long as these mechanisms are transparent to applets and do not change the externally visible operation of the VM.

6.1.5 Static Fields and Methods

It should also be noted that classes are not owned by contexts. There is no runtime context check that can be performed when a class static field is accessed. Neither is there a context switch when a static method is invoked. (Similarly, *InvokeObject* causes no context switch.)

Public static fields and public static methods are accessible from any context. Static methods resort to the same context as their caller.

Objects referenced in static fields are just regular objects. They are owned by whomever created them and standard firewall access rules apply. If it is necessary to share them across multiple applet contexts, then these objects need to be *Shareable Inter/face Objects* (SIOs). (See paragraph 6.2.4 below.)

Of course, the conventional Java technology protections are still enforced for static fields and methods. In addition, when applets are installed, the installer verifies that each attempt to link to an external static field or method is permitted. Installation and specifies about linkages are beyond the scope of this specification.

6.1.5.1 Optional static access checks

The JCRC may perform optional runtime checks that are redundant with the constraints enforced by a verifier. A Java Card VM may detect when code violates fundamental language restrictions, such as invoking a private method in another class, and report or otherwise address the violation.

6.2 Object Access Across Contexts

To enable applets to interact with each other and with the JCRC, some well-defined yet secure mechanisms are provided so one context can access an object belonging to another context.

These mechanisms are provided in the Java Card API 2.1 and are discussed in the following sections:

- JCRC Entry Point Objects
- Global Arrays
- JCRC Privileges
- Shareable Interfaces

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3. Applet A creates an object instance O of class C. O belongs to applet A, and the firewall allows A to access any of the fields and methods of O.
4. To access applet A's object O, applet B creates an object reference SIO of type SI.
5. Applet B invokes a special method (JCSysvm.getAppletShareableInterfaceObject), described in paragraph 6.2.7.2) to request a shared interface object reference from applet A.
6. Applet A receives the request and the AID of the requester (B) via `Applet.getShareableInterfaceObject`, and determines whether or not it will share object O with applet B.
7. If applet A agrees to share with applet B, A responds to the request with a reference to O. This reference is cast to type `Shareable` so that none of the fields or methods of O are visible.
8. Applet B receives the object reference from applet A, casts it to type SI, and stores it in object reference SIO. Even though SIO actually refers to A's object O, SIO is of type SI. Only the shareable interface methods defined in SI are visible to B. The firewall prevents the other fields and methods of O from being accessed by B.
9. Applet B can request service from applet A by invoking one of the shareable interface methods of SIO. During the invocation the Java Card VM performs a context switch. The original currently active context (B) is saved on a stack and the context of the owner (A) of the actual object (O) becomes the new currently active context. A's implementation of the shareable interface method (SI method) executes in A's context.
10. The SI method can find out the AID of its client (B) via the `JCSysvm.getPreviousContextAID` method. This is described in paragraph 6.2.5. The method determines whether or not it will perform the service for applet B.
11. Because of the context switch, the firewall allows the SI method to access all the fields and methods of object O and any other object owned by A. At the same time, the firewall prevents the method from accessing non-shared objects owned by B.
12. The SI method can access the parameters passed by B and can provide a return value to B.
13. During the return, the Java Card VM performs a restoring context switch. The original currently active context (B) is popped from the stack, and again becomes the current context.
14. Because of the context switch, the firewall again allows B to access any of its objects and prevents B from accessing non-shared objects owned by A.

6.2.5 Determining the Previous Context

When an applet calls `JCSysvm.getPreviousContextAID`, the JCIRE shall return the instance AID of the applet instance active at the time of the last context switch.

6.2.5.1 The JCIRE Context

The JCIRE context does not have an AID. If an applet calls the `getPreviousContextAID` method when the applet context was entered directly from the JCIRE context, this method returns null.

If the applet calls `getPreviousContextAID` from a method that may be accessed either from within the applet itself or when accessed via a shareable interface from an external applet, it shall check for null return before performing caller AID authentication.

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instance variables or array components. The JCIRE detects and restricts attempts to store references to these objects as part of the firewall functionality to prevent unauthorized reuse.

For added security, only arrays can be designated as global and only the JCIRE itself can designate global arrays. Because applets cannot create them, no API methods are defined. JCIRE implementers are responsible for implementing the mechanism by which global arrays are designated.

At the time of publication of this specification, the only global arrays required in the Java Card API 2.1 are the APDU buffer and the byte array input parameter (bArray) to the `Applet.install` method.

Note — Because of its global status, the API specifies that the APDU buffer is cleared to zeros whenever an applet is selected, before the JCIRE accepts a new APDU command. This is to prevent an applet's potentially sensitive data from being "leaked" to another applet via the global APDU buffer. The APDU buffer can be accessed from a shared interface object context and is suitable for passing data across applet context. The applet is responsible for protecting secret data that may be accessed from the APDU buffer.

6.2.3 JCIRE Privileges

Because it is the "system" context, the JCIRE context has a special privilege. It can invoke a method of any object on the card. For example, assume that object X is owned by applet A. Normally, only context A can access the fields and methods of X. But the JCIRE context is allowed to invoke any of the methods of X. During such an invocation, a context switch occurs from the JCIRE context to the applet context that owns X.

Note — The JCIRE can access both methods and fields of X. Method access is the mechanism by which the JCIRE enters an applet context. Although the JCIRE could invoke any method through the firewall, it shall only invoke the `select`, `process`, `deselect`, and `getShareableInterfaceObject` (see 6.2.7.1) methods defined in the `Applet` class.

The JCIRE context is the currently active context when the VM begins running after a reset. The JCIRE context is the "root" context and is always either the currently active context or the bottom context saved on the stack.

6.2.4 Shareable Interfaces

Shareable interfaces are a new feature in the Java Card API 2.1 to enable applet interaction. A shareable interface defines a set of shared interface methods. These interface methods can be invoked from one applet context even if the object implementing them is owned by another applet context.

In this specification, an object instance of a class implementing a shareable interface is called a *Shareable Interface Object (SIO)*.

To the owning context, the SIO is a normal object whose fields and methods can be accessed. To any other context, the SIO is an instance of the shareable interface, and only the methods defined in the shareable interface are accessible. All other fields and methods of the SIO are protected by the firewall.

Shareable interfaces provide a secure mechanism for inter-applet communication, as follows:

1. To make an object available to another applet, applet A first defines a shareable interface, SI. A shareable interface extends the interface `java.lang.Shareable`. The methods defined in the shareable interface, SI, represent the services that applet A makes accessible to other applets.
2. Applet A then defines a class C that implements the shareable interface SI. C implements the methods defined in SI. C may also define other methods and fields, but these are protected by the applet firewall. Only the methods defined in SI are accessible to other applets.

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`clientInfo`, then the method also should return `null`. Otherwise, the applet should return an `SIO` of the shareable interface type that the client has requested.

The server applet need not respond with the same `SIO` to all clients. The server can support multiple types of shared interfaces for different purposes and use `clientInfo` and parameter to determine which kind of `SIO` to return to the client.

6.2.7.2 The Method `JCSysTem.getApplletShareableInterfaceObject`

The `JCSysTem` class contains the method `getApplletShareableInterfaceObject`, which is invoked by a client applet to communicate with a server applet.

The JCRE shall implement this method to behave as follows:

1. The JCRE searches its internal applet table for one with `serverInfo`. If not found, `null` is returned.
2. The JCRE invokes this applet's `getShareableInterfaceObject` method, passing the `clientInfo` of the caller and the parameter.
3. A context which occurs to the server applet, and its implementation of `getShareableInterfaceObject` proceeds as described in the previous section. The server applet returns a `SIO` (or `null`).
4. `getApplletShareableInterfaceObject` returns the same `SIO` (or `null`) to its caller.

For enhanced security, the implementation shall make it impossible for the client to tell which of the following conditions caused a `null` value to be returned:

- The `serverInfo` was not found.
- The server applet does not participate in inter-applet communication.
- The server applet does not recognize the `clientInfo` or the parameter.
- The server applet won't communicate with this client.
- The server applet won't communicate with this client as specified by the parameter.

6.2.8 Class and Object Access Behavior

A static class field is `accessed` when one of the following Java bytecodes is executed:

`getstatic`, `putstatic`

An object is `accessed` when one of the following Java bytecodes is executed using the object's reference:

`getfield`, `putfield`, `invokevirtual`, `invokeinterface`, `throw`, `areadone`, `arraylength`, `checkcast`, `instanceof`

<*> refers to the various types of array bytecodes, such as `aload`, `astore`, etc.

This list also includes any special or optimized forms of these bytecodes that may be implemented in the Java Card VM, such as `getfield_b`, `putfield_b`, `areadone_b`, etc.

Prior to performing the work of the bytecode as specified by the Java VM, the Java Card VM will perform an access check on the referenced object. If access is denied, then a `SecurityException` is thrown.

The access checks performed by the Java Card VM depend on the type and owner of the referenced object, the bytecode, and the currently active context. They are described in the following sections.

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6.2.6 Shareable Interface Details

A shareable interface is simply one that extends (either directly or indirectly) the `logging` interface `java.lang.Shareable`. This shareable interface is similar in concept to the `Remote` interface used by the RMI facility, in which calls to the interface methods take place across a localizable boundary.

6.2.6.1 The Java Card Shareable Interface

Interfaces extending the `Shareable` logging interfaces have this special property: calls to the interface methods take place across Java Card's applet firewall boundary via a context switch.

The `Shareable` interface serves to identify all shared objects. Any object that needs to be shared through the applet firewall shall directly or indirectly implement this interface. Only those methods specified in a shareable interface are available through the firewall.

Implementation classes can implement any number of shareable interfaces and can extend other shareable implementation classes.

Like any Java platform interface, a shareable interface simply defines a set of service methods. A service provider class declares that it "implements" the shareable interface and provides implementations for each of the service methods of the interface. A service client class accesses the services by obtaining an object reference, casting it to the shareable interface type, if necessary, and invoking the service methods of the interface.

The shareable interfaces within the Java Card technology shall have the following properties:

- When a method in a shareable interface is invoked, a context switch occurs to the context of the object's owner.
- When the method exits, the context of the caller is restored.
- Exception handling is enhanced so that the currently active context is correctly restored during the stack frame unwinding that occurs as an exception is thrown.

6.2.7 Obtaining Shareable Interface Objects

Inter-applet communication is accomplished when a client applet invokes a shareable interface method of a `SIO` belonging to a server applet. In order for this to work, there must be a way for the client applet to obtain the `SIO` from the server applet in the first place. The JCRE provides a mechanism to make this possible. The Applet class and the `JCSysTem` class provide methods to enable a client to request services from the server.

6.2.7.1 The Method `Appllet.getShareableInterfaceObject`

This method is implemented by the server applet instance. It shall be called by the JCRE to mediate between a client applet that requests to use an object belonging to another applet, and the server applet that makes its objects available for sharing.

The default behavior shall return `null`, which indicates that an applet does not participate in inter-applet communication.

A server applet that is intended to be invoked from another applet needs to override this method. This method should examine the `clientInfo` and the parameter. If the `clientInfo` is not one of the expected `AUDs`, the method should return `null`. Similarly, if the parameter is not recognized or if it is not allowed for the

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- Otherwise, if JCIRE is the currently active context, then access is allowed. Context is switched to the object owner's context.
- Otherwise, access is denied.

6.2.8.5 Accessing Standard Interface Methods

Bytecodes:

invokeinterface

- If the object is owned by the currently active context, then access is allowed.
- Otherwise, if the JCIRE is the currently active context, then access is allowed. Context is switched to the object owner's context.
- Otherwise, access is denied.

6.2.8.6 Accessing Shareable Interface Methods

Bytecodes:

invokeinterface

- If the object is owned by the currently active context, then access is allowed.
- Otherwise, if the object's class implements a shareable interface, and if the interface being invoked extends the shareable interface, then access is allowed. Context is switched to the object owner's context.
- Otherwise, if the JCIRE is the currently active context, then access is allowed. Context is switched to the object owner's context.
- Otherwise, access is denied.

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6.2.8.1 Accessing Static Class Fields

Bytecodes:

getstatic, putstatic

- If the JCIRE is the currently active context, then access is allowed.
- Otherwise, if the bytecode is putstatic and the field being stored is a reference type and the reference being stored is a reference to a temporary JCIRE Entry Point Object or a global array then access is denied.
- Otherwise, access is allowed.

6.2.8.2 Accessing Array Objects

Bytecodes:

arrayload, arraystore, arraylength, checkcast, instanceof

- If the JCIRE is the currently active context, then access is allowed.
- Otherwise, if the bytecode is instanceof and the component being stored is a reference type and the reference being stored is a reference to a temporary JCIRE Entry Point Object or a global array then access is denied.
- Otherwise, if the array is owned by the currently active context, then access is allowed.
- Otherwise, if the array is designated global, then access is allowed.
- Otherwise, access is denied.

6.2.8.3 Accessing Class Instance Object Fields

Bytecodes:

getfield, putfield

- If the JCIRE is the currently active context, then access is allowed.
- Otherwise, if the bytecode is putfield and the field being stored is a reference type and the reference being stored is a reference to a temporary JCIRE Entry Point Object or a global array then access is denied.
- Otherwise, if the object is owned by the currently active context, then access is allowed.
- Otherwise, access is denied.

6.2.8.4 Accessing Class Instance Object Methods

Bytecodes:

invokevirtual

- If the object is owned by the currently active context, then access is allowed. Context is switched to the object owner's context.
- Otherwise, if the object is designated a JCIRE Entry Point Object, then access is allowed. Context is switched to the object owner's context (shall be JCIRE).

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6.3 Transient Objects and Applet contexts

Transient objects of `CLEAR_ON_RESET` type behave like persistent objects in that they can be accessed only when the currently active applet context is the same as the owner of the object (the currently active applet context at the time when the object was created).

Transient objects of `CLEAR_ON_DESELECT` type can only be created or accessed when the currently active applet context is the currently selected applet context. If any of the methods of the transient object is called to create a `CLEAR_ON_DESELECT` type transient object when the currently active applet context is not the currently selected applet context, the method shall throw a `SystemException` with reason code of `ILLEGAL_TRANSIENT`. If an attempt is made to access a transient object of `CLEAR_ON_DESELECT` type when the currently active applet context is not the currently selected applet context, the JCRC shall throw a `SecurityException`.

Applets that are part of the same package share the same group context. Every applet instance from a package shares all its object instances with all other instances from the same package. (This includes transient objects of both `CLEAR_ON_RESET` type and `CLEAR_ON_DESELECT` type owned by those applet instances.)

The transient objects of `CLEAR_ON_DESELECT` type owned by any applet instance within the same package shall be accessible when any of the applet instances in this package is the currently selected applet.

6.2.8.7 Throwing Exception Objects

Bytecodes:

throw

- If the object is owned by the currently active context, then access is allowed.
- Otherwise, if the object is designated a JCRC Entry Point Object, then access is allowed.
- Otherwise, if the JCRC is the currently active context, then access is allowed.
- Otherwise, access is denied.

6.2.8.8 Accessing Class Instance Objects

Bytecodes:

checkcast, instanceof

- If the object is owned by the currently active context, then access is allowed.
- Otherwise, if JCRC is the currently active context, then access is allowed.
- Otherwise, if the object is designated a JCRC Entry Point Object, then access is allowed.
- Otherwise, if the JCRC is the currently active context, then access is allowed.
- Otherwise, access is denied.

6.2.8.9 Accessing Standard Interfaces

Bytecodes:

checkcast, instanceof

- If the object is owned by the currently active context, then access is allowed.
- Otherwise, if the JCRC is the currently active context, then access is allowed.
- Otherwise, access is denied.

6.2.8.10 Accessing Shareable Interfaces

Bytecodes:

checkcast, instanceof

- If the object is owned by the currently active context, then access is allowed.
- Otherwise, if the object's class implements a shareable interface, and if the object is being cast into (checked) or is an instance of (extended) an interface that extends the shareable interface, then access is allowed.
- Otherwise, if the JCRC is the currently active context, then access is allowed.
- Otherwise, access is denied.

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7. Transactions and Atomicity

A *transaction* is a logical set of updates of persistent data. For example, transferring some amount of money from one account to another is a banking transaction. It is important for transactions to be atomic: either all of the data fields are updated, or none are. The JCIRE provides robust support for atomic transactions, so that card data is restored to its original pre-transaction state if the transaction does not complete normally. This mechanism protects against events such as power loss in the middle of a transaction, and against program errors that might cause data corruption should all steps of a transaction not complete normally.

7.1 Atomicity

Atomicity defines how the card handles the contents of persistent storage after a stop, failure, or fatal exception during an update of a single object or class field or array component. If power is lost during the update, the applet developer shall be able to rely on what the field or array component contains when power is restored.

The Java Card platform guarantees that any update to a single persistent object or class field will be atomic. In addition, the Java Card platform provides single component level atomicity for persistent arrays. That is, if the smart card loses power during the update of a data element (field in an object/class or component of an array) that shall be preserved across CAD sessions, that data element will be restored to its previous value.

Some methods also guarantee atomicity for block updates of multiple data elements. For example, the atomicity of the `util.arrayCopy` method guarantees that either all bytes are correctly copied or else the destination array is restored to its previous byte values.

An applet might not require atomicity for array updates. The `util.arrayCopyOnStack` method is provided for this purpose. It does not use the transaction commit buffer even when called with a transaction in progress.

7.2 Transactions

An applet might need to atomically update several different fields or array components in several different objects. Either all updates take place correctly and consistently, or else all field/components are restored to their previous values.

The Java Card platform supports a transactional model in which an applet can designate the beginning of an atomic set of updates with a call to the `JCSys.setTransaction` method. Each object update after this

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point is conditionally updated. The field or array component appears to be updated—ending the field/array component back yields its latest conditional value—but the update is not yet committed.

When the applet calls `JCSys.setTransaction`, all conditional updates are committed to persistent storage. If power is lost or if some other system failure occurs prior to the completion of `JCSys.setTransaction`, all conditionally updated fields or array components are restored to their previous values. If the applet encounters an internal problem or decides to cancel the transaction, it can programmatically undo conditional updates by calling `JCSys.abortTransaction`.

7.3 Transaction Duration

A transaction always ends when the JCIRE regains programmatic control upon return from the applet's `abortTransaction`, `process`, or `install` methods. This is true whether a transaction ends normally, with an applet's call to `commitTransaction`, or with an abortion of the transaction (either programmatically by the applet, or by default by the JCIRE). For more details on transaction abortion, refer to paragraph 7.6.

Transaction duration is the life of a transaction between the call to `JCSys.setTransaction` and either a call to `commitTransaction` or an abortion of the transaction.

7.4 Nested Transactions

The model currently assumes that nested transactions are not possible. There can be only one transaction in progress at a time. If `JCSys.setTransaction` is called while a transaction is already in progress, then a `TransactionException` is thrown.

The `JCSys.setTransaction` method is provided to allow you to determine if a transaction is in progress.

7.5 Tear or Reset Transaction Failure

If power is lost (or the card is reset or some other system failure occurs while a transaction is in progress), then the JCIRE shall restore to their previous values all fields and array components conditionally updated during the previous call to `JCSys.setTransaction`.

This action is performed automatically by the JCIRE when it initializes the card after recovering from the power loss, reset, or failure. The JCIRE determines which of those objects (if any) were conditionally updated, and restores them.

Note—Object space used by instances created during the transaction that failed due to power loss or card reset can be recovered by the JCIRE.

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7.6 Aborting a Transaction

Transactions can be aborted either by an applet or by the JCRE.

7.6.1 Programmatic Abortion

If an applet encounters an internal problem or decides to cancel the transaction, it can programmatically undo conditional updates by calling `JCSys.abortTransaction`. If this method is called, all conditionally updated fields and array components since the previous call to `JCSys.beginTransaction` are returned to their previous values, and the `JCSys.getTransactionLength` value is reset to 0.

7.6.2 Abortion by the JCRE

If an applet returns from the `select`, `deselect`, `process`, or `finalize` methods with a transaction in progress, the JCRE automatically aborts the transaction. If a return from any of `select`, `deselect`, `process` or `finalize` methods occurs with a transaction in progress, the JCRE acts as if an exception was thrown.

7.6.3 Cleanup Responsibilities of the JCRE

Object instances created during the transaction that is being aborted can be deleted only if all references to these objects can be located and converted into null. The JCRE itself ensures that references to objects created during the aborted transaction are equivalent to a null reference.

7.7 Transient Objects

Only updates to persistent objects participate in the transaction. Updates to transient objects are never undone, regardless of whether or not they were "inside a transaction."

7.8 Commit Capacity

Since platform resources are limited, the number of bytes of conditionally updated data that can be accumulated during a transaction is limited. The Java Card technology provides methods to determine how much commit capacity is available on the implementation. The commit capacity represents an upper bound on the number of conditional byte updates available. The actual number of conditional byte updates available may be lower due to management overhead.

An exception is thrown if the commit capacity is exceeded during a transaction.

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8. API Topics

The topics in this chapter complement the requirements specified in the *Java Card 2.1 API Draft 2 Specification*. The first topic is the Java Card I/O functionality, which is implemented entirely in the *APDU* class. The second topic is the API supporting Java Card security and cryptography. The *JCRC* encapsulates the API security level.

Transactions within the API

Unless specifically called out in the *Java Card 2.1 API Specification*, the implementations of the API classes shall not initiate or otherwise alter the state of a transaction if one is in progress.

Resource Use within the API

Unless specifically called out in the *Java Card 2.1 API Specification*, the implementation shall support the invocation of API instance methods, even when the owner of the object instance is not the currently selected applet. In other words, unless specifically called out, the implementation shall not use resources such as transient objects of *CLEAR_ON_DESELECT* type.

Exceptions thrown by API classes

All exception objects thrown by the API implementation shall be temporary *JCRC* Entry Point Objects. Temporary *JCRC* Entry Point Objects cannot be stored in class variables, instance variables or array components. (See 6.2.1)

8.1 The APDU Class

The *APDU* class encapsulates access to the ISO 7816-4 based I/O across the card serial line. The *APDU* Class is designed to be independent of the underlying I/O transport protocol.

The *JCRC* may support T=0 or T=1 transport protocols or both.

8.1.1 T=0 specifics for outgoing data transfers

For compatibility with legacy CAD terminals that do not support block chained mechanisms the *APDU* Class allows mode selection via the *setOutgoingChaining* method.

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8.1.1.1 Constrained transfer with no chaining

When the no chaining mode of output transfer is requested by the applet by calling the *setOutgoingChaining* method, the following protocol sequence shall be followed.

Note — when the no chaining mode is used, calls to the *waitExit* method shall throw an *APDUException* with reason code *TELESCAL_USR*.

Notation

Lc = CAD expected length.

Lr = Applet response length set via *setOutgoingLength* method.

<INS> = the protocol byte equal to the incoming header INS byte, which indicates that all data bytes will be transferred next.

<-INS> = the protocol byte that is the complement of the incoming header INS byte, which indicates about 1 data byte being transferred next.

<SW1,SW2> = the response status bytes as in ISO 7816-4.

ISO 7816-4 CASE 2

Lc == *Lr*

1. The card sends *Lr* bytes of output data using the standard T=0 <INS> or <-INS> procedure byte mechanism.

2. The card sends <SW1,SW2> completion status on completion of the Applet process method.

Lr < *Lc*

1. The card sends <0x61,<*Lr*> completion status bytes

2. The CAD sends GET RESPONSE command with *Lc* = *Lr*.

3. The card sends *Lr* bytes of output data using the standard T=0 <INS> or <-INS> procedure byte mechanism.

4. The card sends <SW1,SW2> completion status on completion of the Applet process method.

Lr > *Lc*

1. The card sends *Lc* bytes of output data using the standard T=0 <INS> or <-INS> procedure byte mechanism.

2. The card sends <0x61,<*Lr-Lc*> completion status bytes

3. The CAD sends GET RESPONSE command with new *Lc* <= *Lr*.

4. The card sends (new) *Lc* bytes of output data using the standard T=0 <INS> or <-INS> procedure byte mechanism.

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Java™ Card™ Runtime Environment (JCRC) 2.1 Specification

The transport protocol sequence shall not use block chaining. Specifically, the M-bit (more data bit) shall not be set in the PCB of the L-blocks during the transfers (ISO 7816-3). In other words, the entire outgoing data (Lr bytes) shall be transferred in one L-block.

(If the applet aborts early and sends less than Lr bytes, zeros shall be sent instead to fill out the remaining length of the block.)

Note — When the no chaining mode is used, calls to the waitExtension method shall throw an `APDUException` with reason code `ILLEGAL_USE`.

8.1.2.2 Regular Output transfers

When the no chaining mode of output transfer is not requested by the applet, the setOutgoing method is used, the following protocol sequence shall be followed:

Any ISO-7816-3/4 compliant T=1 protocol transfer sequence may be used.

Note — The waitExtension method may be invoked by the applet between successive calls to `sendBytes` or `sendByteAlong` methods. The waitExtension method shall send an S-block command with WTX request of INF unit, which is equivalent to a request of 1 additional work waiting time in T=0 mode. (See ISO 7816-3).

8.2 The security and crypto packages

The getInstance method in the following classes return an implementation instance in the context of the calling applet of the requested algorithm:

`javacard.security.MessageDigest`

`javacard.security.Signature`

`javacard.security.RandomData`

`javacard.crypto.Cipher`.

An implementation of the JCRC may implement 0 or more of the algorithms listed in the API. When an algorithm that is not implemented is requested this method shall throw a `CryptoException` with reason code `NO_SUCH_ALGORITHM`.

Implementations of the above classes shall extend the corresponding base class and implement all the abstract methods. All data allocation associated with the implementation instance shall be performed at the time of instance construction to ensure that any lack of required resources can be flagged early during the initialization of the applet.

Similarly, the `putKey` method of the `javacard.security.KeyBuilder` class returns an implementation instance of the requested key type. The JCRC may implement 0 or more types of keys. When a key type that is not implemented is requested, the method shall throw a `CryptoException` with reason code `NO_SUCH_ALGORITHM`.

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Java™ Card™ Runtime Environment (JCRC) 2.1 Specification

3. Repeat steps 2-4 as necessary to send the remaining output data bytes (Lr) as required.
6. The card sends <SW1,SW2> completion status on completion of the `Applet.process` method.

ISO 7816-4 CASE 4

In Case 4, Lr is determined after the following initial exchange:

1. The card sends <0x61, Lr status bytes>
2. The CAD sends GET RESPONSE command with $Lc \leq Lr$.

The rest of the protocol sequence is identical to CASE 2 described above.

If the applet aborts early and sends less than Lr bytes, zeros may be sent instead to fill out the length of the transfer expected by the CAD.

8.1.2.2 Regular Output transfers

When the no chaining mode of output transfer is not requested by the applet (that is, the setOutgoing method is used), the following protocol sequence shall be followed:

Any ISO-7816-3/4 compliant T=0 protocol transfer sequence may be used.

Note — The waitExtension method may be invoked by the applet between successive calls to `sendBytes` or `sendByteAlong` methods. The waitExtension method shall request an additional work waiting time (ISO 7816-3) using the 0x60 procedure byte.

8.1.2.3 Additional T=0 requirements

At any time, when the T=0 output transfer protocol is in use, and the APDU class is awaiting a GET RESPONSE command from the CAD in reaction to a response status of <0x61, n> from the card, if the CAD sends in a different command, the `sendBytes` or the `sendByteAlong` methods shall throw an `APDUException` with reason code `NO_T0_GETRESPONSE`.

Calls to `sendBytes` or `sendByteAlong` methods from this point on shall result in an `APDUException` with reason code `ILLEGAL_USE`. If an ISO8583 exception is thrown by the applet after the `NO_T0_GETRESPONSE` exception has been thrown, the JCRC shall discard the response status in its reason code. The JCRC shall return APDU processing with the newly received command and resume APDU dispatching.

8.1.2 T=1 specifics for outgoing data transfers

8.1.2.1 Constrained transfers with no chaining

When the no chaining mode of output transfer is requested by the applet by calling the `setOutgoingNoChaining` method, the following protocol sequence shall be followed:

Notation

Lr = CAD expected length.

Lr = Applet response length set via `setOutgoingLength` method.

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Java™ Card™ Runtime Environment (JCER) 2.1 Specification

Implementations of key types shall implement the associated interfaces. All data allocation associated with the key implementation instance shall be performed at the time of instance construction to ensure that any lack of required resources can be flagged early during the installation of the applet.

8.3 JCSysm Class

In Java Card 2.1, the getVersion method shall return (short) 0x0201.

9. Virtual Machine Topics

The topics in this chapter detail virtual machine specifics.

9.1 Resource Failures

A lack of resources condition (such as heap space) which is recoverable shall result in a `SystemException` with reason code `NO_RESOURCE`. The factory methods in `java.lang` can be used to create transient arrays throw a `SystemException` with reason code `NO_TRANSIENT_SPACE` to indicate lack of transient space.

All other (non-recoverable) virtual machine errors such as stack overflow shall result in a virtual machine error. These conditions shall cause the virtual machine to halt. When with a non-recoverable virtual machine error occurs, an implementation can optionally require the card to be nulled or blocked from further use.

Java™ Card™ Runtime Environment (JCIRE) 2.1 Specification

10. Applet Installer

Applet installation on smart cards using Java Card technology is a complex topic. The Java Card API 2.1 is intended to give JCIRE implementers as much freedom as possible in their implementations. However, some basic common specifications are required in order to allow Java Card applets to be installed without knowing the implementation details of a particular installer.

This specification defines the concept of an installer and specifies minimal installation requirements in order to achieve interoperability across a wide range of possible installer implementations.

The Applet Installer is an optional part of the JCIRE 2.1 Specification. That is, an implementation of the JCIRE does not necessarily need to include a post-assurance installer. However, if implemented, the installer is required to support the behavior specified in section 9.1.

10.1 The Installer

The mechanisms necessary to install an applet on smart cards using Java Card technology are embodied in an on-card component called the *installer*.

To the CAD the installer appears to be an applet. It has an AID, and it becomes the currently selected applet when this AID is successfully processed by a SELECT command. Once selected, the installer behaves in much the same way as any other applet.

- It receives all APDUs just like any other selected applet.
- Its design specification prescribes the various kinds and formats of APDUs that it expects to receive along with the semantics of those commands under various preconditions.
- It processes and responds to all APDUs that it receives. Incorrect APDUs are responded to with an error condition of some kind.
- When another applet is selected (or when the card is reset or when power is removed from the card), the installer becomes de-selected and remains suspended until the next time that it is SELECTed.

10.1.1 Installer Implementation

The installer need not be implemented as an applet on the card. The requirement is only that the installer functionality be SELECTable. The corollary to this requirement is that installer component shall not be able to be invoked when a non-installer applet is selected nor when no applet is selected.

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Java™ Card™ Runtime Environment (JCIRE) 2.1 Specification

Obviously, a JCIRE implementer could choose to implement the installer as an applet. If so, then the installer might be coded to extend the Applet class and respond to invocations of the select, process, and de-select methods.

But a JCIRE implementer could also implement the installer in other ways, as long as it provides the SELECTable behavior to the outside world. In this case, the JCIRE implementer has the freedom to provide some other mechanism by which APDUs are delivered to the installer code module.

10.1.2 Installer AID

Because the installer is SELECTable, it shall have an AID. JCIRE implementers are free to choose their own AID by which their installer is selected. Multiple installers may be implemented.

10.1.3 Installer APDUs

The Java Card API 2.1 does not specify any APDUs for the installer. JCIRE implementers are entirely free to choose their own APDU commands to direct their installer in its work.

The model is that the installer on the card is driven by an installation program running on the CAD. In order for installation to succeed, this CAD installation program shall be able to:

- Recognize the card.
- SELECT the installer on the card.
- Drive the installation process by sending the appropriate APDUs to the card installer. These APDUs will contain:
 - Authentication information, to ensure that the installation is authorized.
 - The applet code to be loaded into the card's memory.
 - Linkage information to link the applet code with code already on the card.
 - Instance initialization parameter data to be sent to the applet's `install` method.

The Java Card API 2.1 does not specify the details of the CAD installation program nor the APDUs passed between it and the installer.

10.1.4 Installer Behavior

JCIRE implementers shall also define other behaviors of their installer, including:

- Whether or not installation can be aborted and how this is done.
- What happens if an exception, reset, or power fail occurs during installation.
- What happens if another applet is selected before the installer is finished with its work.

The JCIRE shall guarantee that an applet will not be de-selected successfully installed if:

- the applet's `install` method throws an exception before successful return from the `Applet.select` method. (Refer to paragraph 9.2.)

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Java™ Card™ Runtime Environment (JCARE) 2.1 Specification

10.1.5 Installer Privileges

Although an installer may be implemented as an applet, an installer will typically require access to features that are not available to "other applets." For example, depending on the JCARE implementer's implementation, the installer will need to:

- Read and write directly to memory, bypassing the object system and/or standard security.
- Access objects owned by other applets or by the JCARE.
- Invoke non-entry point methods of the JCARE.
- Be able to invoke the `install` method of a newly installed applet.

Again, it is up to each JCARE implementer to determine the installer implementation and supply such features in their JCARE implementations as necessary to support their installer. JCARE implementers are also responsible for the security of such features, so that they are not available to normal applets.

10.2 The Newly Installed Applet

There is a single interface between the installer and the applet that is being installed. After the installer has correctly prepared the applet for execution (performed steps such as loading and linking), the installer shall invoke the applet's `install` method. This method is defined in the `Applet` class.

The precise mechanism by which an applet's `install` method is invoked from the installer is a JCARE implementer-defined implementation detail. However, there shall be a central switch so that any context-related operations performed by the `install` method (such as creating new objects) are done in the context of the new applet and not in the context of the installer. The installer shall also ensure that any objects created during applet class initialization (`<init>`) methods are also owned by the context of the new applet.

The installation of an applet is deemed complete if all steps are completed without failure or an exception being thrown, up to and including successful return from executing the `Applet.install` method. At that point, the installed applet will be selectable.

The maximum size of the parameter data is 32 bytes. And for security reasons, the `bytearray` parameter is zeroed after the return (just as the `APDU` buffer is zeroed on return from an applet's `process` method.)

10.2.1 Installation Parameters

Other than the maximum size of 32 bytes, the Java Card API 2.1 does not specify anything about the contents of the installation parameter `bytearray` segment. This is fully defined by the applet designer and can be in any format desired. In addition, these installation parameters are intended to be opaque to the installer.

JCARE implementers should design their installers so that it is possible for an installation program running in a CAD to specify an arbitrary `bytearray` to be delivered to the installer. The installer simply forwards this `bytearray` to the target applet's `install` method in the `bytearray` parameter. A typical implementation might define a JCARE implementer-provided `APDU` command that has the semantics "call the applet's `install` method passing the contents of the accompanying `bytearray`."

Java™ Card™ Runtime Environment (JCRC) 2.1 Specification

11. API Constants

Some of the API classes don't have values specified for their constants in the *Java Card API 2.1 Reference*. If constant values are not specified consistently by implementers of this JCRC 2.1 Specification, industry-wide interoperability is impossible. This chapter provides the required values for constants that are not specified in the *Java Card API 2.1 Reference*.

Class `javacard.framework.APUException`

```
public static final byte PROTOCOL_V0 = 0;
public static final byte PROTOCOL_V1 = 1;
```

Class `javacard.framework.APUException`

```
public static final short ILLEGAL_USB = 1;
public static final short BUFFER_OVERFLOW = 2;
public static final short BAD_LENGTH = 3;
public static final short NO_ERROR = 4;
public static final short NO_RESPONSE = 0xAAA;
```

Interface `javacard.framework.ISO7816`

```
public final static short SW_NO_ERROR = (short)0x9000;
public final static short SW_WRONG_LENGTH = 0x6100;
public final static short SW_SECURITY_STATUS_NOT_SATISFIED = 0x6982;
public final static short SW_FILE_NOT_FOUND = 0x6A81;
public final static short SW_CONDITIONS_NOT_SATISFIED = 0x6985;
public final static short SW_COMMAND_NOT_ALLOWED = 0x6986;
public final static short SW_APPLET_SELECT_FAILED = 0x6999;
public final static short SW_WRONG_DATA = 0x6A80;
public final static short SW_FUNC_NOT_SUPPORTED = 0x6A81;
public final static short SW_FILE_NOT_FOUND = 0x6A82;
public final static short SW_RECORD_NOT_FOUND = 0x6A83;
public final static short SW_INCORRECT_P1P2 = 0x6A86;
public final static short SW_WRONG_P1P2 = 0x6A80;
public final static short SW_CORRECT_LENGTH_00 = 0x6C00;
public final static short SW_FUNC_NOT_SUPPORTED = 0x6980;
public final static short SW_CLA_NOT_SUPPORTED = 0x6E00;
public final static short SW_WRONG_DATA = 0x6986;
public final static short SW_FILE_FULL = 0x6A88;
public final static byte OFFSET_CLA = 0;
public final static byte OFFSET_INS = 1;
public final static byte OFFSET_P1 = 2;
public final static byte OFFSET_P2 = 3;
```

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Java™ Card™ Runtime Environment (JCRC) 2.1 Specification

```
public final static byte OFFSET_IC = 4;
public final static byte OFFSET_CNTR = 5;
public final static byte CLA_ISO7816 = 0x00;
public final static byte INS_SELECT = (byte) 0xA0;
public final static byte INS_EXTERNAL_AUTHENTICATE = (byte) 0xA2;
```

Class `javacard.framework.JCSystem`

```
public static final byte NOT_A_TRANSIENT_OBJECT = 0;
public static final byte CLEAR_ON_RESET = 1;
public static final byte CLEAR_ON_DESELECT = 2;
```

Class `javacard.framework.PINException`

```
public static final short ILLEGAL_VALUE = 1;
```

Class `javacard.framework.SystemException`

```
public static final short ILLEGAL_VALUE = 1;
public static final short NO_TRANSIENT_SPACE = 2;
public static final short ILLEGAL_TRANSACTION = 3;
public static final short ILLEGAL_AID = 4;
public static final short NO_RESOURCE = 5;
```

Class `javacard.security.CryptoException`

```
public static final short ILLEGAL_VALUE = 1;
public static final short UNINITIALIZED_KEY = 2;
public static final short NO_SUCH_ALGORITHM = 3;
public static final short INVALID_INIT = 4;
public static final short ILLEGAL_USB = 5;
```

Class `javacard.security.KeyBuilder`

```
public static final byte TYPE_DIE_TRANSIENT_RESET = 1;
public static final byte TYPE_DIE_TRANSIENT_DESELECT = 2;
public static final byte TYPE_DIE = 3;
public static final byte TYPE_DIEA_PUBLIC = 4;
public static final byte TYPE_DIEA_PRIVATE = 5;
public static final byte TYPE_DIEA_CRT_PRIVATE = 6;
public static final byte TYPE_DIEA_PUBLIC = 7;
public static final byte TYPE_DIEA_PRIVATE = 8;
public static final short LENGTH_DIE = 64;
public static final short LENGTH_DIE2_KEY = 128;
public static final short LENGTH_DIE3_KEY = 192;
public static final short LENGTH_DIEA_512 = 512;
public static final short LENGTH_DIEA_768 = 768;
public static final short LENGTH_DIEA_1024 = 1024;
public static final short LENGTH_DIEA_2048 = 2048;
public static final short LENGTH_DIEA_512 = 512;
public static final short LENGTH_DIEA_768 = 768;
public static final short LENGTH_DIEA_1024 = 1024;
```

Class `javacard.security.MessageDigest`

```
public static final byte ALG_SHA = 1;
public static final byte ALG_MD5 = 2;
public static final byte ALG_RIPEMD160 = 3;
```

Class `javacard.security.RandomData`

```
public static final byte ALG_PSEUDO_RANDOM = 1;
public static final byte ALG_SECURE_RANDOM = 2;
```

Class `javacard.security.Signature`

```
public static final byte ALG_DIE_NOC1_PAD = 1;
public static final byte ALG_DIE_NOC1_PAD = 2;
public static final byte ALG_DIE_NOC1_PAD = 3;
```

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Java™ Cmid™ Runtime Environment (JCRE) 2.1 Specification

```

public static final byte ALQ_DBS_MAC9_J509797_M1 = 4;
public static final byte ALQ_DBS_MAC9_J509797_M2 = 5;
public static final byte ALQ_DBS_MAC9_J509797_M3 = 6;
public static final byte ALQ_DBS_MAC9_PXC35 = 7;
public static final byte ALQ_DBS_MAC9_PXC35 = 8;
public static final byte ALQ_DBS_MAC9_PXC35 = 9;
public static final byte ALQ_DBS_MAC9_PXC35 = 10;
public static final byte ALQ_DBS_MAC9_PXC35 = 11;
public static final byte ALQ_DBS_MAC9_PXC35 = 12;
public static final byte ALQ_DBS_MAC9_PXC35 = 13;
public static final byte ALQ_DBS_MAC9_PXC35 = 14;
public static final byte MODR_PIC9 = 1;
public static final byte MODR_VENRYT = 2;

```

Class java.cmid.crypto.Cipher

```

public static final byte ALQ_DBS_MAC9_PXC35 = 1;
public static final byte ALQ_DBS_MAC9_PXC35 = 2;
public static final byte ALQ_DBS_MAC9_PXC35 = 3;
public static final byte ALQ_DBS_MAC9_PXC35 = 4;
public static final byte ALQ_DBS_MAC9_PXC35 = 5;
public static final byte ALQ_DBS_MAC9_PXC35 = 6;
public static final byte ALQ_DBS_MAC9_PXC35 = 7;
public static final byte ALQ_DBS_MAC9_PXC35 = 8;
public static final byte ALQ_DBS_MAC9_PXC35 = 9;
public static final byte ALQ_DBS_MAC9_PXC35 = 10;
public static final byte MODR_PIC9 = 1;
public static final byte MODR_VENRYT = 2;

```

Java™ Card™ Runtime Environment (JCRC) 2.1 Specification

Glossary

ATD is an acronym for Application Identifier as defined in ISO 7816-3.

APDU is an acronym for Application Protocol Data Unit as defined in ISO 7816-4.

API is an acronym for Application Programming Interface. The API defines calling conventions by which an application program accesses the operating system and other services.

Applet within the context of this document means a Java Card Applet, which is the basic unit of selection, control, functionality, and security in Java Card technology.

Applet developer refers to a person creating a Java Card applet using the Java Card technology specifications.

Applet firewall is the mechanism in the Java Card technology by which the VM prevents an applet from making unauthorized accesses to objects owned by other applet contexts or the JCRC context, and reports or otherwise addresses the violation.

Atomic operation is an operation that either completes in its entirety (if the operation succeeds) or no part of the operation completes at all (if the operation fails).

Atomicity refers to whether a particular operation is atomic or not and is necessary for proper data recovery in cases in which power is lost or the card is unexpectedly removed from the CAD.

ATR is an acronym for Answer to Reset. An ATR is a string of bytes sent by the Java Card after a reset condition.

CAD is an acronym for Card Acceptance Device. The CAD is the device in which the card is inserted.

Card is the explicit conversation across one data type to another.

eJCK is the test suite to verify the compliance of the implementation of the Java Card Technology specification. The eJCK uses the JavaTest tool to run the test suite.

Class is the prototype for an object in an object-oriented language. A class may also be considered a set of objects that share a common structure and behavior. The structure of a class is determined by the class variables that represent the state of an object of that class and the behavior is given by a set of methods associated with the class.

Classes are related in a class hierarchy. One class may be a specialization (a subclass) of another (its superclass), it may have reference to other classes, and it may use other classes in a client-server relationship.

Context (See Applet execution context.)

Currently active context. The JCRC keeps track of the currently active Java Card applet context. When a virtual machine is invoked on an object, and a context switch is required and permitted, the currently active

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Java™ Card™ Runtime Environment (JCRC) 2.1 Specification

context is changed to correspond to the applet context that owns the object. When that method returns, the previous context is restored. Invocations of static methods have no effect on the currently active context. The currently active context and sharing status of an object together determine if access to an object is permissible.

Currently selected applet. The JCRC keeps track of the currently selected Java Card applet. Upon receiving a SELECT command with this applet's AID, the JCRC notices this applet is the currently selected applet. The JCRC sends all APDU commands to the currently selected applet.

EEPROM is an acronym for Electrically Erasable, Programmable Read-Only Memory.

Firewall (see Applet Firewall).

Framework is the set of classes that implement the API. This includes core and extension packages. Responsibilities include dispatching of APDUs, applet selection, managing atomicity, and installing applets.

Garbage collection is the process by which dynamically allocated storage is automatically reclaimed during the execution of a program.

Instance variables, also known as fields, represent a portion of an object's internal state. Each object has its own set of instance variables. Objects of the same class will have the same instance variables, but each object can have different values.

Instantiation, in object-oriented programming, means to produce a particular object from its class template. This involves allocation of a data structure with the types specified by the template, and initialization of instance variables with either default values or those provided by the class's constructor function.

JAR is an acronym for Java Archive. JAR is a platform-independent file format that combines many files into one.

Java Card Runtime Environment (JCRC) consists of the Java Card Virtual Machine, the framework, and the associated native methods.

JC21R1 is an acronym for the Java Card 2.1 Reference Implementation.

JCRC Implementer refers to a person creating a vendor-specific implementation using the Java Card API.

JCVM is an acronym for the Java Card Virtual Machine. The JCVM is the foundation of the OP card architecture. The JCVM executes byte code and manages classes and objects. It enforces separation between applications (firewalls) and enables secure data sharing.

JDK is an acronym for Java Development Kit. The JDK is a Sun Microsystems, Inc. product that provides the environment required for programming in Java. The JDK is available for a variety of platforms, but most notably Sun Solaris and Microsoft Windows®.

Method is the name given to a procedure or routine, associated with one or more classes, in object-oriented languages.

Namespace is a set of names in which all names are unique.

Object-Oriented is a programming methodology based on the concept of an object, which is a data structure encapsulated with a set of routines, called methods, which operate on the data.

Objects, in object-oriented programming, are unique instances of a data structure defined according to the template provided by its class. Each object has its own values for the variables belonging to its class and can respond to the messages (methods) defined by its class.

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Java™ Card™ Runtime Environment (JCRE) 2.1 Specification

Package is a namespace within the Java programming language and can have classes and interfaces. A package is the smallest unit within the Java programming language.

Persistent object Persistent objects and their values persist from one CAD session to the next, indefinitely. Objects are persistent by default. Persistent object values are updated atomically using transactions. The term persistent does not mean there is an object-oriented database on the card or that objects are serialized/deserialized, just that the objects are not lost when the card loses power.

Shareable interface Defines a set of shared interface methods. These interface methods can be invoked from one applet context when the object implementing them is owned by another applet context.

Shareable interface object (SIO) An object that implements the shareable interface.

Transaction is an atomic operation in which the developer defines the extent of the operation by indicating in the program code the beginning and end of the transaction.

Transient object. The values of transient objects do not persist from one CAD session to the next, and are reset to a default value at specified intervals. Updates to the values of transient objects are not atomic and are not affected by transactions.

1/5/99 12:49 PM Havnor:Stuff [REDACTED] D2 14DEC98:READ-ME-JCRE21-DF [REDACTED].txt

Page 1

Date: 16 December 1998

Dear Java Card Licensee,

JCRE21-DF2-14DEC98.zip contains a second draft of the Java Card 2.1 Runtime Environment specification, dated December 14, 1998, for Licensee review and comment. We have worked to incorporate and clarify the document based upon the review feedback we've received to date.

Complete contents of the zip archive are as follows:

READ-ME-JCRE21-DF2.txt - This READ ME text file
JCRE21-DF2.pdf - "Java Card Runtime Environment (JCRE)
2.1 Specification" in PDF format
JCRE21-DF2-changebar.pdf - The revised document with change bars
from the previous version for ease
of review.

Summary of changes:

1. This is now a draft 2 release and will be published on the public web site shortly.
2. New description of temporary JCRE Entry Point Objects has been introduced for purposes of restricting unauthorized access. Firewall chapter 6.2.1.
3. Global arrays now have added security related restrictions similar to temporary JCRE Entry Point objects. Firewall chapter 6.2.2.
4. Detailed descriptions of the bytecodes with respect to storing restrictions for temporary JCRE Entry Point Objects and Global arrays added. Chapter 6.2.8.
5. General statement about JCRE owned exception objects added in chapter 8.
6. Corrected description of Virtual machine resource failures in transient factory methods. Chapter 9.1.

The "Java Card Runtime Environment 2.1 Specification" specifies the minimum behavior and runtime environment for a complete Java Card 2.1 implementation, as referred to by the Java Card API 2.1 and Java Card 2.1 Virtual Machine Specification documents. This specification is required to ensure compatible operation of Java Card applets. The purpose of this specification document is to bring all the JCRE elements together in a concise manner as part of the Java Card 2.1 specification suite.

Please send review comments to <javaoem-javacard@sun.com> or to my address as below. On behalf of the Java Card team, I look forward to hearing from you.

Best,
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